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November 1, 2006

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Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Art Unit 1618

Mail Stop Amendment

Re: U.S. Utility Patent Application
Application No. 10/514,427; § 371 Date: November 16, 2004
For: **Substituted 4-Aryl-4H-pyrrolo[2,3-h]chromenes and Analogs as Activators of Caspases and Inducers of Apoptosis and the Use Thereof**
Inventors: Cai *et al.*
Our Ref: 1735.0770001/RWE/CJW

Sir:

Transmitted herewith for appropriate action are the following documents:

1. First Supplemental Information Disclosure Statement Filing Under 37 C.F.R. § 1.97(b);
2. Form PTO/SB/08B (1 sheet);
3. Copies of ten (10) references (Documents NPL70-NPL79); and
4. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents
November 1, 2006
Page 2

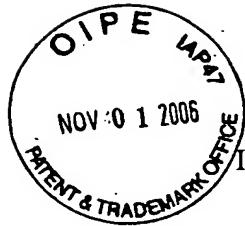
The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.


Christopher J. Walsh
Attorney for Applicants
Registration No. 55,709

CJW/dab
603081_1.DOC
Enclosures



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

CAI *et al.*

Appl. No.: 10/514,427

§ 371 Date: November 16, 2004

For: **Substituted 4-Aryl-4H-pyrrolo[2,3-h]chromenes and Analogs as Activators of Caspases and Inducers of Apoptosis and the Use Thereof**

Confirmation No.: 4080

Art Unit: 1618

Examiner: FAY, Zohreh A.

Atty. Docket: 1735.0770001/RWE/CJW

**First Supplemental Information Disclosure Statement
Filing Under 37 C.F.R. § 1.97(b)**

Mail Stop Amendment

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying IDS Form, PTO/SB/08B, are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this First Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Information Disclosure Statement filed on June 12, 2006 in connection with the above-captioned application. Copies of documents **NPL70** to **NPL79** are submitted.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached IDS Forms based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

This Information Disclosure Statement is being filed prior to the issuance of the first Office Action on the merits. No statement or fee is required.

It is respectfully requested that the Examiner initial and return a copy of the enclosed IDS Forms, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

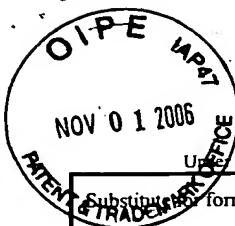


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Substituting for form 1449B/PTO

**FIRST SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Sheet

		<i>Complete if Known</i>	
<i>Application Number</i>	10/514,427		
<i>§ 371 Date</i>	November 16, 2004		
<i>First Named Inventor</i>	CAI, Sui Xiong		
<i>Art Unit</i>	1618		
<i>Examiner Name</i>	FAY, Zohreh A.		
<i>Attorney Docket Number</i>	1735.0770001/RWE/CJW		

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	NPL70	Barinaga, M., "Cell Suicide: By ICE, not Fire," <i>Science</i> 263:754-756, American Association for the Advancement of Science (1994)	
	NPL71	Bode, A. and Dong, Z., "Apoptosis induction by arsenic: mechanisms of action and possible clinical applications for treating therapy-resistant cancers," <i>Drug Resist. Update</i> 1:21-29, Harcourt Publishers Ltd. (2000)	
	NPL72	Ding, Z., <i>et al.</i> , "Resistance to apoptosis is correlated with the reduced caspase-3 activation and enhanced expression of antiapoptotic proteins in human cervical multidrug-resistant cells," <i>Biochem. Biophys. Res. Comm.</i> 270:415-420, Academic Press (2000)	
	NPL73	Klokol, G.V. <i>et al.</i> , "Cyclization of Nitriles. XXIII. <i>J. Org. Chem. USSR</i> 23:369-377, Consultants Bureau (1987)	
	NPL74	McCarty, M.F., "Polyphenol-mediated inhibition of AP-1 transactivating activity may slow cancer growth by impeding angiogenesis and tumor invasiveness," <i>Medical Hypotheses</i> 50:511-514, Churchill Livingstone. (1998)	
	NPL75	Nørgaard, J.M. and Hokland, P., "Biology of Multiple Drug Resistance in Acute Leukemia," <i>Int. J. Hematol.</i> 72:290-297 (2000), erratum 73:132 (January 2001) Carden Jennings (2000)	
	NPL76	Ruddon, R.W., "Biochemistry of Cancer," in <i>Cancer Medicine</i> , 5 th Ed., B.C. Decker Inc., London, GB, pp. 108-120 (2000)	
	NPL77	Salvesen, G.S. and Dixit, V.M., "Caspase activation: The induced-proximity model," <i>Proc. Natl. Acad. Sci. USA</i> 96:10964-10967, National Academy of Sciences (1999)	
	NPL78	Sharanin, Yu.A. and Klokol, G.V., "Synthesis of 2-Amino-4H-chromenes," <i>J. Org. Chem. USSR</i> 19:1582-1583, Consultants Bureau (1983)	
	NPL79	Wolfe, B.B. and Green, D.R., "Suicidal Tendencies: Apoptotic Cell Death by Caspase Family Proteinases," <i>J. Biol. Chem.</i> 274:20049-20052, The American Society for Biochemistry and Molecular Biology, Inc. (1999)	

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Examiner Signature	Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.